

RECORDS RETENTION SCHEDULE GUIDELINES



DEPARTMENT OF GENERAL SERVICES
The California Records and Information Management
(CalRIM)

June 2000

PART 1. GENERAL INSTRUCTIONS

- A. All records must be inventoried and scheduled. (Refer to pages 4 and 9 in the Records Retention Handbook.)
- B. Complete the Records Retention Schedule Form (STD 73) and the Request for Approval Form (STD. 72). Make three (3) copies of each, attaching the STD 72 as a cover sheet to each copy of the schedule (STD 73). Keep one copy for your program and submit the original and two copies of the schedule to your agency's Records Management Coordinator (RMC) for approval. After the RMC approves the schedule, he/she sends all three copies to the California Records and Information Management Program (CalRIM). After review and approval, CalRIM sends all copies of the schedule to the California State Archives for review. The California State Archives retains one copy and sends the original and one copy back to CalRIM. CalRIM in turn files the original and sends the remaining copy back to the agency's RMC. (Refer to page 12 of the Records Retention Handbook - RRH).
- C. For definitions of "record" and "non-record" material, refer to page 4 of the Records Retention Handbook.
- D. For "electronic records" refer to the Electronic Records Management Handbook.
- E. Place your records under two subheadings on the schedule:
 - (1) Administrative Management – These include records common to most agencies such as personnel, budget, supply, etc.
 - (2) Program Management – These include those records that relate to an agency's primary functions.

Example: Administrative Management

 - 1. Personnel Records
 - 2. Budget Records
 - 3. Records Management

 Program Management

 - 4. Contractor Licenses
 - 5. Property Insurance Claims
- F. When completing a schedule, refer to your program's previous schedule (if one exists).
 - (1) Review to determine if your program is scheduling all records.

- (2) All records on a previous schedule must be accounted for on the new one. If any records from the previous schedule have been discontinued or transferred to another agency, list them on the last page of the schedule. This will provide an audit trail of discontinued records.

Example: Discontinued Record Items – 1, 10, 15

- G. Use the most current versions of the records retention schedule forms (STD 72 and STD 73) when completing a schedule. Call the CalRIM for information concerning current forms.
- H. Once CalRIM approves a records retention schedule, it is current for five years from the approval date. No further approval is needed during that five year period unless your program wishes to amend the schedule.
 - (1) Inventory all records a minimum of every five years.
 - (2) Begin updating your schedules before the five year expiration date.
 - (3) A current schedule is needed to purchase filing equipment, transfer records to the State Records Center (SRC), and destroy records.
- I. Retention periods are normally based on “calendar” or “fiscal” year cycles. If a different type of cycle is used, cite it in the remarks column of the schedule.
- J. Although schedules are revised every five years, from the date approved by CalRIM, records retention schedules that are not revised remain in effect and are considered “non-current”.

PART II. RECORDS RETENTION SCHEDULE GUIDELINES

NOTE: These instructions match the space block and column numbers on the records retention schedule form (STD 73).

A. SPACE 1 – DEPARTMENT / UNIT / ADDRESS

- (1) Enter the department's name, the unit, and the unit's address.

B. SPACE 2 – SCHEDULE NUMBER

- (1) Enter the program's schedule number.
- (2) Each program has its own numbering system.

Note: Refer to the "Guidelines to Approve STD 73, Records Retention Schedule and STD 72, Records Retention Schedule Approval Request," for specific guidelines on how to assign a schedule number.

C. SPACE 3 – DATE

- (1) Enter the date your program completed the records retention schedule.

D. SPACE 4 – PAGE (S)

- (1) Enter each page's number and the total number of pages in the records retention schedule.

E. SPACE 5 – DEPARTMENT OF GENERAL SERVICES APPROVAL NUMBER

- (1) New schedules – A new schedule is the first schedule ever created for a program unit. In this case, leave this space blank. New schedules will not contain approval numbers until CalRIM has reviewed and approved them. CalRIM will stamp the new approval number on STD 72 form (Part II-space titled "Approval Number"). Programs may transfer it to space five on their schedule after CalRIM returns it.
- (2) Revising a previous schedule – A revised schedule is a complete revision of a superseded schedule. Follow the same instructions as given above in E(1).
- (3) Amended schedules – An amended schedule is one in which only part of the schedule has been reviewed and changed. A program amends a

schedule, if changes are required before the schedule's five year expiration date. In this case, report the approval number of the schedule being amended. Amended schedules will not receive new approval numbers; instead, they will carry the approval number of the schedule being amended.

F. PAGE 1 – MISSION STATEMENT

- (1) Enter a brief mission statement on the first page of a retention schedule. This statement should describe the goals of your program.

G. COLUMN 6 – ITEM NUMBER

- (1) Enter item numbers that correspond to each record series.
- (2) The numbers should begin with "1" and continue in numerical sequence for every record throughout the schedule. Please **do not use** alphabetical designations.

H. COLUMN 7 – CUBIC FEET

- (1) Enter the cubic feet of records stored in office and departmental storage facilities. Do not include records stored at the State Records Center.
- (2) Use the following format when combining small volume records of 10 cubic feet or less. Avoid combining over 10 feet of separate records into one item.

Item #	Cubic Feet	Title
1	10	Purchase Orders
2	↓	Building Equipment Inventories
3	▼	Equipment contracts

- (2) On the last page of the schedule, report the total cubic feet of records contained in the schedule.

I. COLUMN 8 – CALIFORNIA STATE ARCHIVES USE ONLY

- (1) After approving a schedule, CalRIM sends it to the California State Archives. The STATE ARCHIVIST stamps “Notify Archives” in column 8 for those records believed to have historical value.
- (2) The Agency **must** notify the California State Archives before they destroy these “stamped records.” The STATE ARCHIVIST will request to view samples of these records to determine if they should be preserved after they have outlived their business purpose.

J. COLUMN 9 – TITLE AND DESCRIPTION OF RECORDS

- (1) Enter the title and a brief description of each record. Avoid using undefined acronyms or abbreviations. Someone unfamiliar with the records should be able to understand the contents by the title. Therefore, when a record title is unclear, place a brief explanation in parentheses below the record title. You may use a legend on the first page of the schedule to explain abbreviation(s) used throughout the schedule.

K. COLUMN 10 – MEDIA

- (1) Enter the type of media in which the records are stored. The reverse side of the schedule, STD 73, contains instructions under number 10 which list the codes for each media.

Note: Refer to the *Electronic Records Management Handbook* for electronic records.

- (2) For records stored on microfilm or optical disk, include in the remarks column (17) the date the program received CalRIM’s approval for the imaging services and/or systems.
- (3) For Computer Output Microfilm (COM) records, note in the title and description (column 9) that they are COM reports.
- (4) If a record is stored in more than one form or media, each media should have its own item number, should be broken down by cubic feet, and have its own retention period.

Example:

- (a) For records that are stored on optical disk, the schedule should show the hard copy (paper) and the optical disk(s).

- (b) For microfilmed records, the schedule should show a hard copy (paper), a working copy (diaz), and a master copy (silver halide)

Note: D = Diazo or microfilm working copy.

S = Silver halide or microfilm master copy.

P = Paper or hardcopy.

The example below does not include all columns of an actual records retention schedule.

Item #	C.F.	Media	Title		Remarks
1.	10	P	Personnel File Paper		Microfilm 1-year after person separates. Then see items 2 & 3.
2.	2	S	Microfilm Master		After microfilm is accepted, destroy paper copy.
3.	2	D	Working Copy		S = master stored in Elk Grove vault. D = working copy stored in office.

L. COLUMN 11 – VITAL

- (1) Enter an “X” in this column for any record designated as a “vital record”. A “vital record” as defined in the Vital Records Handbook is the recorded information that is essential for the continuation or reconstruction of an agency. Refer to the Vital Records Handbook for more information.
- (2) A vital record requires some special method of protection from loss. Note this method of protection in the remarks column (17). Methods of protection include dispersal, microfilming, off-site storage, etc.
- (3) If a record is designated as PERMANENT, ensure that your program has reviewed it for vital record protection.
- (4) If no records in a schedule have been designated as “vital,” place a footnote at the bottom of the first page stating that the schedule contains no vital records.

M. COLUMN 12 – OFFICE RETENTION

- (1) Enter one of the following retention designations for the amount of time a record will be stored in the office, if records identified in this column require office retention for more than four years, and the volume of cubic

feet is more than 10. Then an explanation is required in the remarks column (17).

- (a) Cite the “Number of months or years” a record will be stored in the office.
- (b) Perpetual Retention type records that have an indefinite time period, i.e., “Active” or “Current” is entered. In the remarks column (17), the “event” is entered which terminates the “Active” or “Current” life of the records. For either entry, the length of time is entered (if any) for records to be held in office space when they are no longer active or current (inactive or non-current). See example below for “active +” or “current +”.

Examples of retention authority for office retention of more than four years may be federal or state law, statutes, regulations, etc., director’s or branch chief’s policy. Examples of “Active” records becoming inactive may be until employee “separates, retires or transfers”; “Current” becomes non current when policy, standards are “revised, superseded or rescinded”.

Note: The example below does not include all columns on an actual records retention schedule.

Office	SRC	Total	Remarks
Active + 2		Active + 2	Active until person separates, retires or transfers. Retain additional two years, then destroy.

or

Office	SRC	Total	Remarks
Current + 3	2	Current + 5	Current until processing procedures are revised, superseded or rescinded. Retain additional three years; then send to the SRC for two additional years.

- (c) Permanent – Cite “permanent” for those records that are never to be destroyed. Question records designated as a permanent. Ensure that the program has searched for the appropriate retention period. For permanent records, cite in the remarks column the authority for

keeping records permanently. Acceptable authority include laws, written departmental policies, and /or written director's decisions.

- (2) Store only those records in the office that are needed to conduct current business. Generally, programs store records in the office for two years and then transfer them to the SRC.
- (3) If your program wishes to store over 50 cubic feet of records on a schedule in office space for more than four (4) years, question whether or not these records are needed in the office.
- (4) **Do not use** terms such as “**Indefinite, Continuous, or Various**” in this column.

N. COLUMN 13 – DEPARTMENTAL STORAGE

- (1) Enter the number of years a record will be stored in departmental storage.
- (2) Although some departments have departmental storage facilities CalRIM encourages programs to use the State Records Center (SRC) which has the proper controls for records storage. The requirements for SRC storage are explained in section “O” of these guidelines.
- (3) CalRIM reviews and approves departmental storage facilities for agencies to ensure that they have the appropriate security, shelter and safety controls in place.

O. COLUMN 14 – STATE RECORDS CENTER (SRC)

- (1) Enter the number of years a record will be stored at the SRC.
- (2) To be stored at the SRC, records must be:
 - (a) On an approved retention schedule within the five year cycle;
 - (b) Stored at the SRC for more **than one year**; and
 - (c) Requested/ accessed no more than once, per cubic foot, per month. Refer to SAM 1680 for more information.

P. COLUMN 15 – TOTAL

- (1) Enter the sum of years contained in columns 12, 13, and 14.
- (2) Enter the total for those records designated “active” or “current” in the following format.

Note: The example below does not contain all columns on an actual records retention schedule.

Example:

Office	Dept.	SRC	Total
Active +2	2	3	Active + 7
Current + 3	2	2	Current + 7

Q. COLUMN 16 – PRA (EXEMPT) AND IPA

- (1) Enter information relating to the confidentiality/non-confidentiality of a record.
- (2) For those records that can be disclosed to the public, leave this column blank.
- (3) For those records that are exempt from public disclosure, enter an “X” in this column. Then cite an exemption authority from the Public records Act (Government Code 6254) or a Program law, etc.
- (4) For those records that are exempt from public disclosure, but the individual (whom the record contains information about) is allowed access, enter an “XI”. Then cite an exemption authority from the Public Records Act (GC 6254) or program law, etc. Other possible authorities include citations from State or Federal statutes, audit guidelines, Attorney General instructions, or agency policy statements.
- (5) In addition, cite in the ‘remarks’ section by what method confidential records will be destroyed. Refer to the *RRS Handbook (page 33)* for instructions concerning confidential destruction. **Example:** Transfer to SRC for confidential destruction. This information will remind future RMC’s that a particular record series requires confidential destruction.

R. COLUMN 17 – REMARKS

In this section, enter:

- (1) Retention authority for each record. Acceptable authorities include laws, written departmental policies, and/ or written director’s decisions. If no law, regulation, etc. governs how long a record must be kept, the manager directly responsible for the records should determine the life

cycle of the record. Place a footnote on the first page of the schedule that states, “For those records which have no governing law or authority for retention cited, the manager directly responsible for the records, authority applies.” No level lower than a manager can make retention authority decisions.

- (2) Exemption authority for records covered under the provisions of the Public Records Act, Information Practices Act, etc.
- (3) Events that terminate the “active” or “current” retention status of records.
- (4) Type of destruction for confidential records (witnessed shredding, recycling, etc.)
- (5) Abbreviations or acronyms used throughout the schedule.
- (6) Method(s) of protection for vital records.
- (7) CalRIM’s approval date for those records which are microfilmed, or stored on optical or compact disk.
- (8) Explanation of any portion of the schedule that may be unclear to CalRIM, or the California State Archives.